

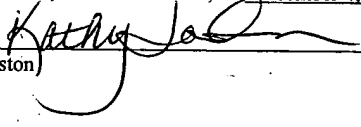
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jeffrey Lutze et al.  
Title: Self Aligned Non-volatile Memory Cell and Process for Fabrication  
Application No.: 10/600,259 Filing Date: June 20, 2003  
Examiner: Not yet assigned Group Art Unit: 2818  
Docket No.: SNDK.310US0 Conf. No.: 7482



Certificate of Mailing Under 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on December 4, 2003.

  
Kathy Johnston

**DUPLICATE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) call(s) the documents listed on the enclosed Form PTO-1449 to the Examiner's attention in this patent application.

- ☒ Copies of the documents listed on the accompanying Form PTO-1449 are enclosed.
- ☐ Copies of the documents listed on the accompanying Form PTO-1449 that are not enclosed were previously submitted in Application(s) No. \_\_\_\_\_, from which this Application claims an earlier effective filing date.
- ☐ This application has a filing date after June 30, 2003. Copies of the U.S. Patent(s) and U.S. Published Patent Application(s) documents listed on the accompanying Form PTO-1449 are not enclosed.

Attorney Docket No.: 10/600,259

Application No.: SNDK.310US0

Citation of these documents shall not be construed as (1) an admission that the documents are prior art with respect to the invention or inventions claimed in this application, (2) a representation that a search has been made (other than as indicated by any cited document), or (3) an admission that the cited information is, or is considered to be, material to patentability as defined in § 1.56(b).

This information disclosure statement is submitted under 37 C.F.R. § 1.97(b) and consequently no fee should be required. The Commissioner is authorized, however, to charge any fee that may be required, or to credit any overpayment, against Deposit Account No. 502664. This form is being submitted in duplicate.

This information disclosure statement is submitted under 37 C.F.R. § 1.97(i). Applicant(s) request(s) this statement, along with the enclosures, be placed in the file. As far as the undersigned attorney can determine, the cited documents should not affect the patentability of any claims allowed in this application.

Respectfully submitted,

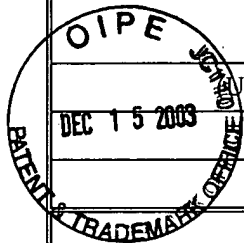


Peter A. Gallagher  
Attorney for Applicants  
Reg. No. 47,584

December 4, 2003

PARSONS HSUE & DE RUNTZ LLP  
655 Montgomery Street, Suite 1800  
San Francisco, CA 94111  
(415) 318-1160  
(415) 693-0194 (fax)

U.S. Department of Commerce, Patent and Trademark		Atty. Docket No.	Application No.
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		SNDK.310US0	10/600,259
		Applicant(s)	
(Use several sheets if necessary)		Jeffrey Lutze et al.	
		Filing Date	Group
		06/20/03	Unknown



## U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	001	5,297,148	Mar. 22, 1994	Harari et al.			
	002	5,315,541	May 24, 1994	Harari et al.			
	003	5,712,180	Jan. 27, 1998	Guterman et al.			
	004	6,046,935	Apr. 4, 2000	Takeuchi et al.			
	005	6,222,762	Apr. 24, 2001	Guterman et al.			
	006	6,281,075	Aug. 28, 2001	Yuan et al.			
	007	5,640,032	Jun. 17, 1997	Tomioka			
	008	5,043,940	8/1991	Harari			
	009	5,070,032	12/1991	Yuan			
	010	5,095,344	3/1992	Harari			
	011	5,168,465	12/1992	Harari			
	012	5,172,338	12/1992	Mehrotra			
	013	5,198,380	3/1993	Harari			
	014	5,268,318	12/1993	Harari			
	015	5,268,319	12/1993	Harari			
	016	5,313,421	5/1994	Guterman			
	017	5,343,063	8/1994	Yuan			
	018	5,380,672	1/1995	Yuan			
	019	5,512,505	4/1996	Yuan			
	020	5,534,456	7/1996	Yuan			
	021	5,554,553	9/1996	Yuan			
	022	5,579,259	11/1996	Samachisa			
	023	5,595,924	1/1997	Yuan			
	024	5,654,217	8/1997	Yuan			
	025	5,661,053	8/1997	Yuan			
	026	5,677,872	10/1997	Samachisa			
	027	5,712,179	1/1998	Yuan			

Examiner

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

U.S. Department of Commerce, Patent and Trademark				Atty. Docket No.		Application No.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				SNDK.310US0		10/600,259	
				Applicant(s)			
(Use several sheets if necessary)				Jeffrey Lutze et al.			
				Filing Date		Group	
				06/20/2003		Unknown	
	028	5,747,359	5/1998	Yuan			
	029	5,756,385	5.1998	Yuan			
	030	5,786,988	7/1998	Harari			
	031	5,847,425	12/1998	Yuan			
	032	5,867,429	2/1999	Chen			
	033	5,883,409	3/1999	Guterman			
	034	5,965,913	10/1999	Yuan			
	035	5,999,448	12/1999	Kurihara			
	036	6,028,336	2/2000	Yuan			
	037	6,103,573	8/2000	Harari			
	038	6,151,248	11/2000	Harari			
	039	6,208,545B1	3/2001	Leedy			
	040	6,235,586B1	5/2001	Au			
	041	6,258,665B1	7/2001	Shimizu			
	042	6,512,263	1/2003	Yuan			
	043	09/925,102		Yuan			8/8/2001
	044	6,417,538	7/2002	Choi			
<b>U.S. Published Patent Application Documents</b>							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	045	2001/001491 A1	05/24/2001	Sakui			
	046	2002/0093073	07/18/02	Mori et al.	257	510	10/30/01
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
	047	International Search Report, PCT/US03/18183 filed 09/06/2003.					
Examiner			Date Considered				
<b>*EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.							

